



SUBJECT: Amendment No. 1 to Request for Proposal No. 10-005

DATE OF AMENDMENT: April 9, 2010

DATE OF RFP RELEASE: March 29, 2010

DATE AND TIME OF OPENING: April 23, 2010 @ 3:00 p.m. Pacific Time

AGENCY CONTACT: Stacey Johnson, Contract Manager

The following shall be a part of RFP No. 10-005 for Unclaimed Property Securities Custodian Services. If a vendor has already returned a proposal and any of the information provided below changes that proposal, please submit the changes along with this amendment. You need not re-submit an entire proposal prior to the opening date and time.

RFP 10-005 (Unclaimed Property Securities Custodian) Questions and Responses:

- **Can you provide a schematic of the account structure that is used to support your unclaimed process? Is a single account used or multiple accounts?**

Account is set up as a single account in the same format as other broker accounts. It should list all the holdings by issue, # shares, value, etc...

- **Who is the incumbent custodian?**

ACS Unclaimed Property Clearinghouse, Inc.

- **What were the total fees charged by the custodian for 2009? Is an all-inclusive or transactional methodology being currently used?**

Transactional, from Jan 2009 to Dec. 2009. \$103,431.46.

- **Have there been any legal actions brought by unclaimed security owners against the State and/or the Custodian over the last 3 years? What was the outcome?**

No legal actions.

- **Can you provide copies of the current monthly and daily reporting you are receiving from the incumbent custodian?**



Attached are a few reports that are generated on a weekly and monthly basis. There are 2 additional queries that are supplied every week in the form of an excel spreadsheet that are not included. One weekly query shows all the prior weeks' transactions posted to the account. Another weekly query shows all the prior weeks' cash transactions posted to the account. A wide array of other reports is available and is utilized on an as needed basis.

- Is there any change anticipated in the process or regulations related to the unclaimed securities for the future, particularly related to processing volumes and reporting requirements?

None anticipated.

- Are search services required for unclaimed property owners?

None required.

ALL ELSE REMAINS THE SAME.

Vendor shall sign and return this amendment with proposal submitted.

NAME OF VENDOR _____

AUTHORIZED SIGNATURE _____

TITLE _____ DATE _____